

CSE 250

Data Structures

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208 Capen Hall

Lec 27: AVL Trees

Announcements

- PA2 due Sunday (last day to submit with grace days/penalty is Tues)
- WA4 coming soon
- Midterm #2 on Friday

BST Operations

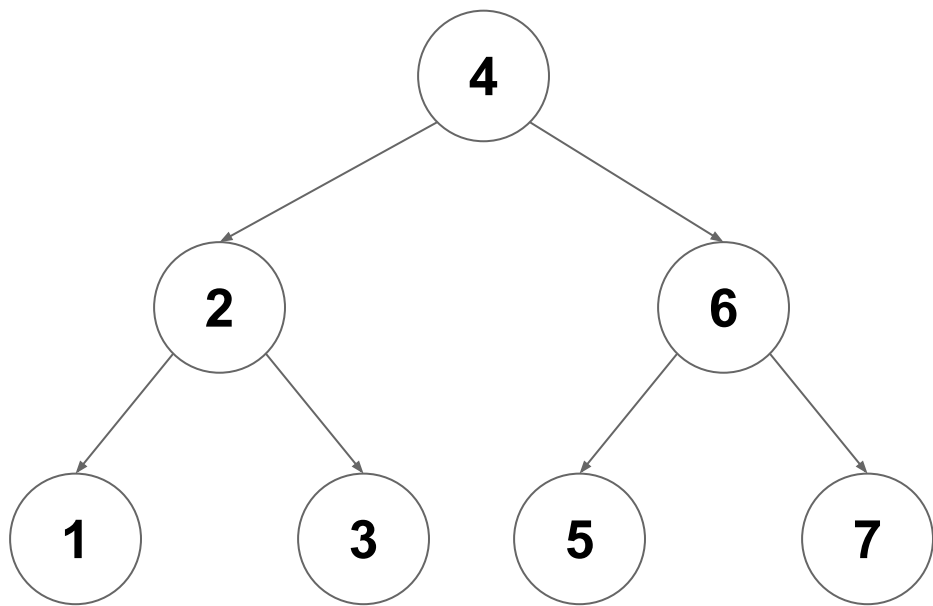
Operation	Runtime
<code>find</code>	$O(d)$
<code>insert</code>	$O(d)$
<code>remove</code>	$O(d)$

What is the runtime in terms of n ? $O(n)$

$$\log(n) \leq d \leq n$$

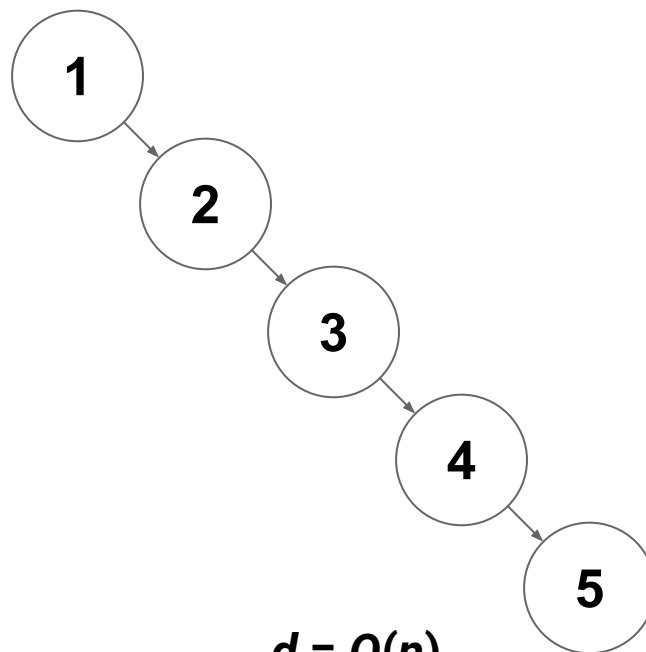
Tree Depth vs Size

If $\text{height}(\text{left}) \approx \text{height}(\text{right})$



$d = O(\log(n))$

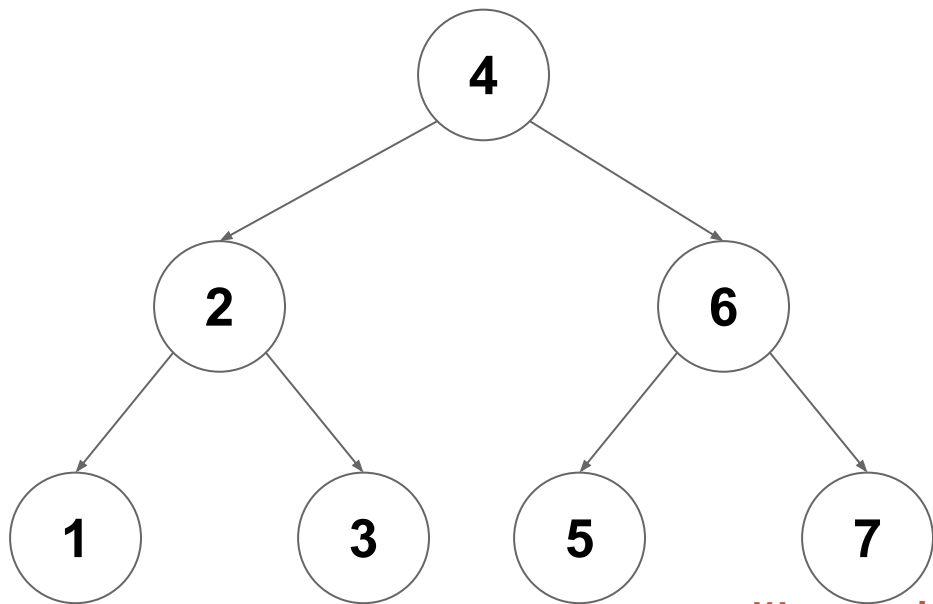
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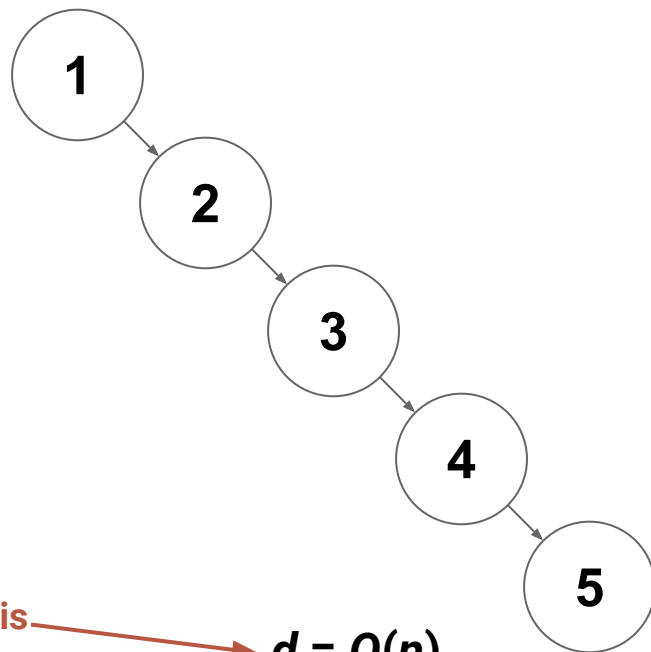
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$d = O(\log(n))$

If $\text{height}(\text{left}) \ll \text{height}(\text{right})$



$d = O(n)$

We want this, not this

Keeping Depth Small - Two Approaches

Option 1

Keep tree **balanced**: subtrees **+/-1**
of each other in height

(add a field to track amount of
"imbalance")

Option 2

Keep leaves at some minimum
depth (**$d/2$**)

(Add a color to each node marking it
as "red" or "black")

Balanced Trees

Balanced Trees are good: Faster find, insert, remove

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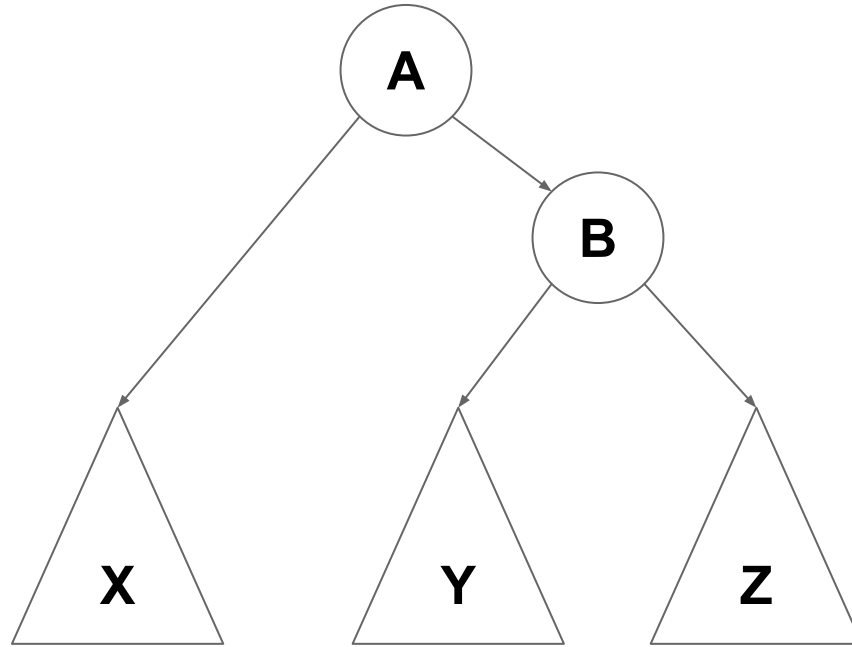
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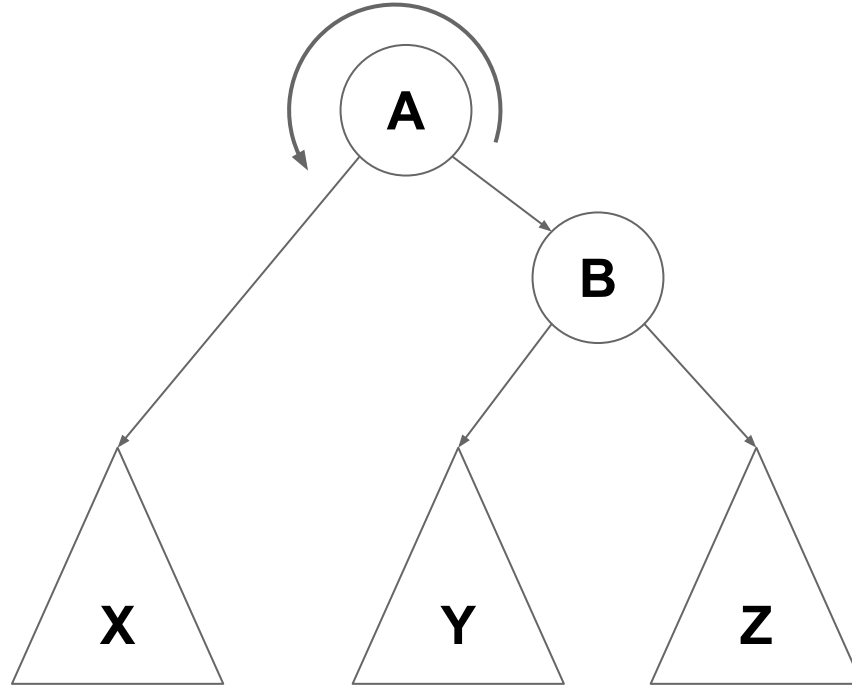
What do we mean by balanced? $|\text{height}(\text{right}) - \text{height}(\text{left})| \leq 1$

How do we keep a tree balanced?

Rebalancing Trees (rotations)

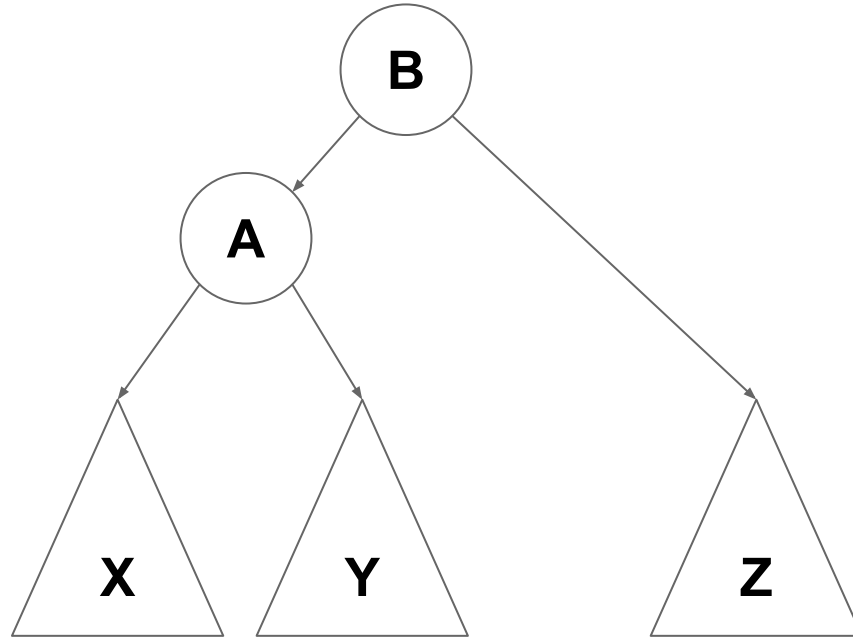


Rebalancing Trees (rotations)



`Rotate(A, B)`

Rebalancing Trees (rotations)

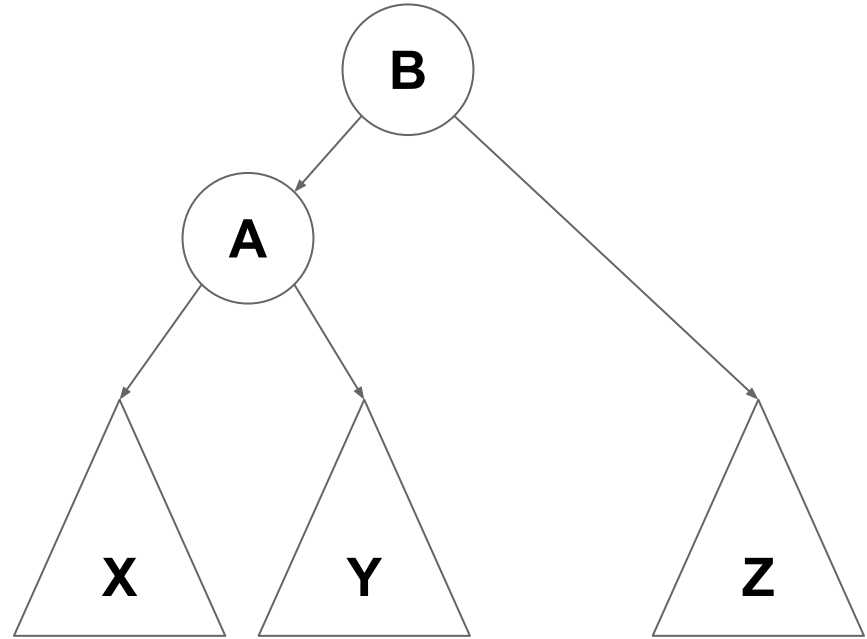


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Rebalancing Trees (rotations)

A became **B**'s left child

B's left child became **A**'s right child



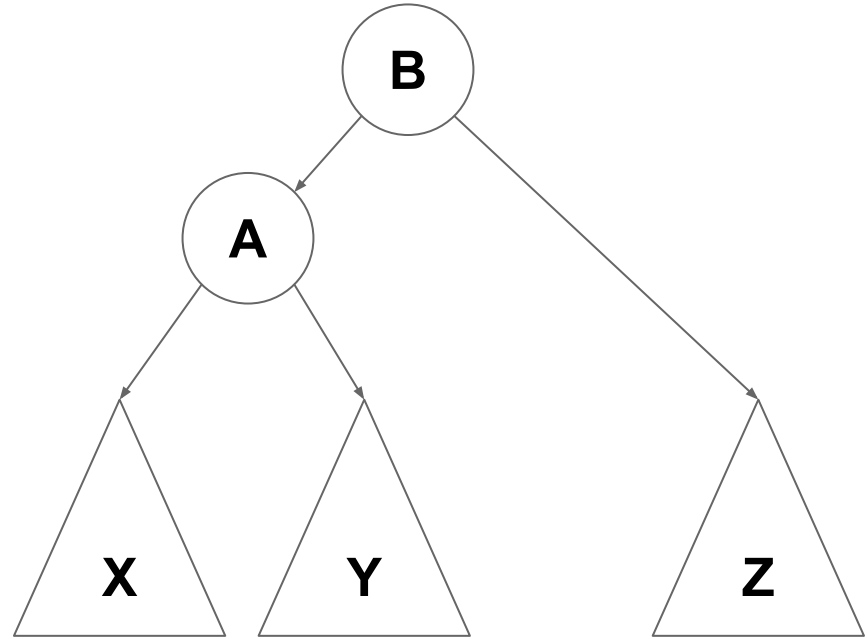
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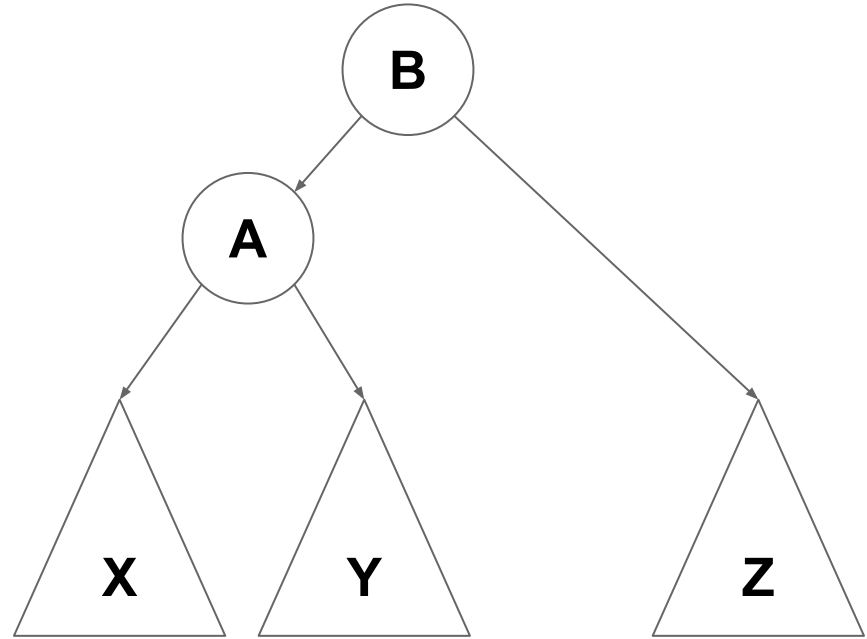
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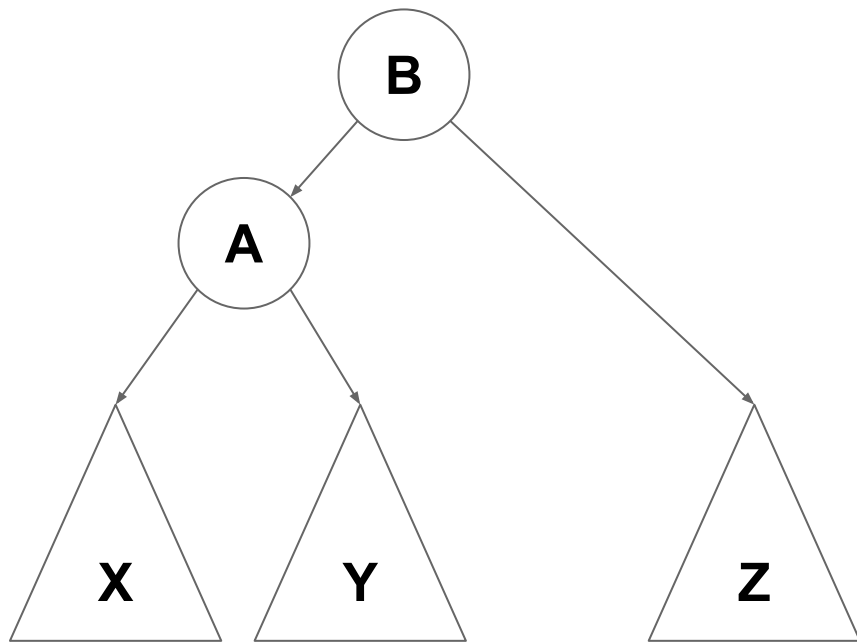
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Complexity?



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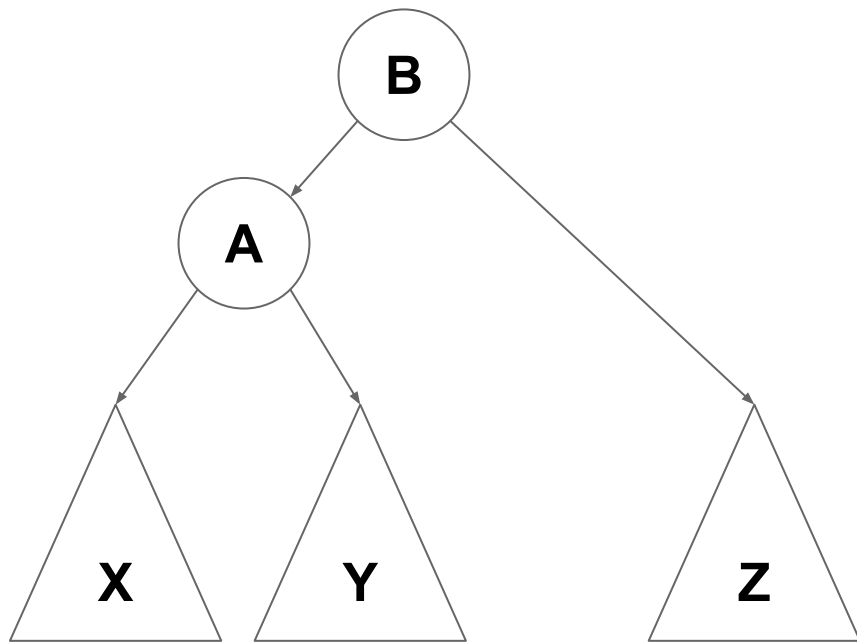
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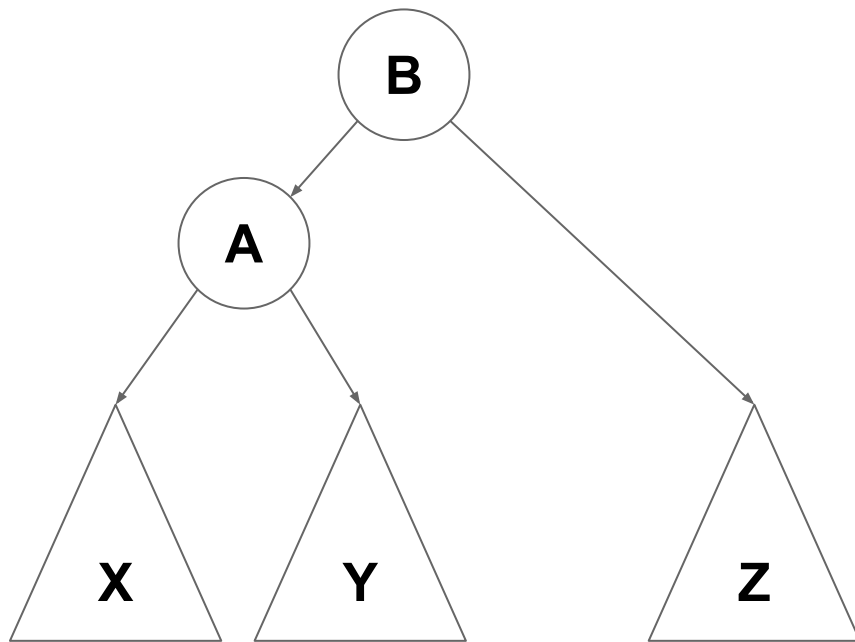
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This is called a left rotation

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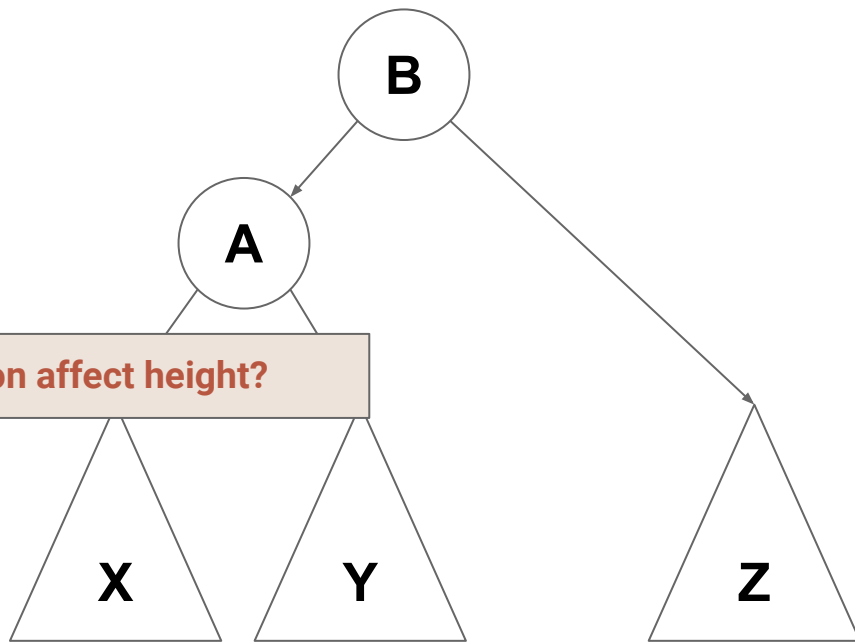
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Complexity? $O(1)$

How does a rotation affect height?

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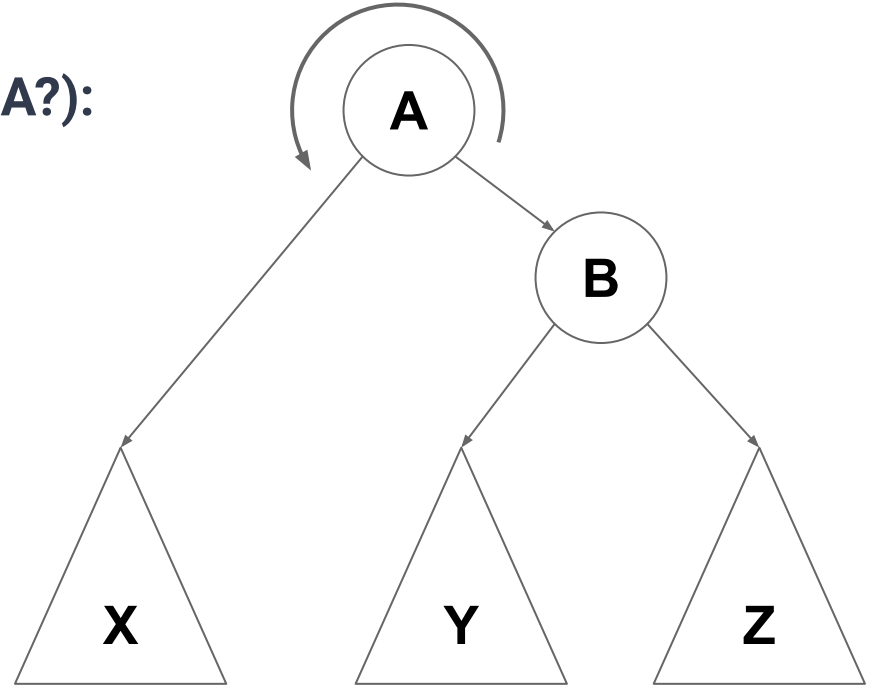
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Rotate(A, B)

Rebalancing Trees (rotations)

Before Rotation (what is the height of A?):

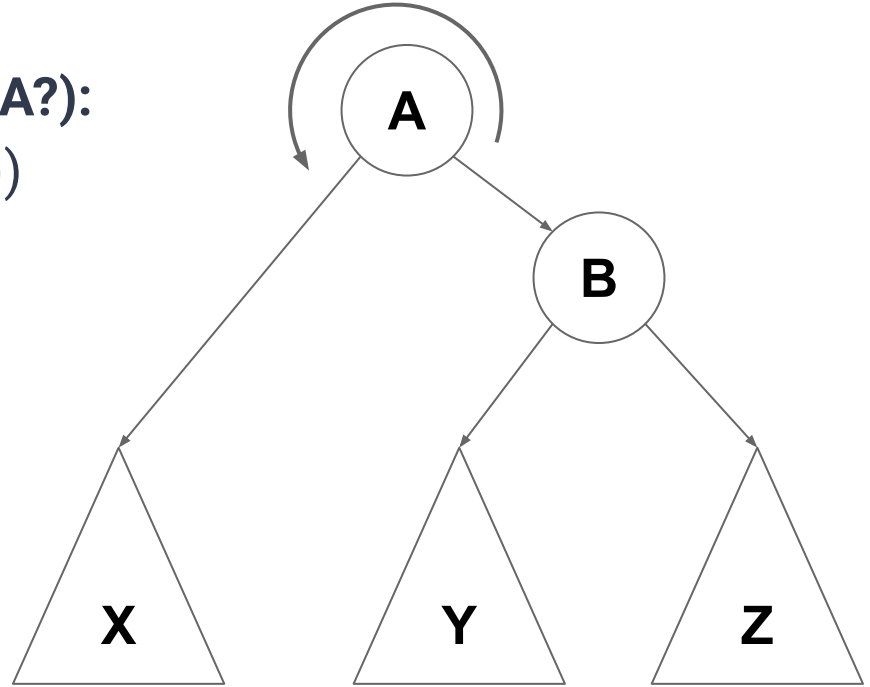


Rotate(A, B)

Rebalancing Trees (rotations)

Before Rotation (what is the height of A?):

$$h(A) = 1 + \max(h(X), 1 + \max(h(Y), h(Z)))$$



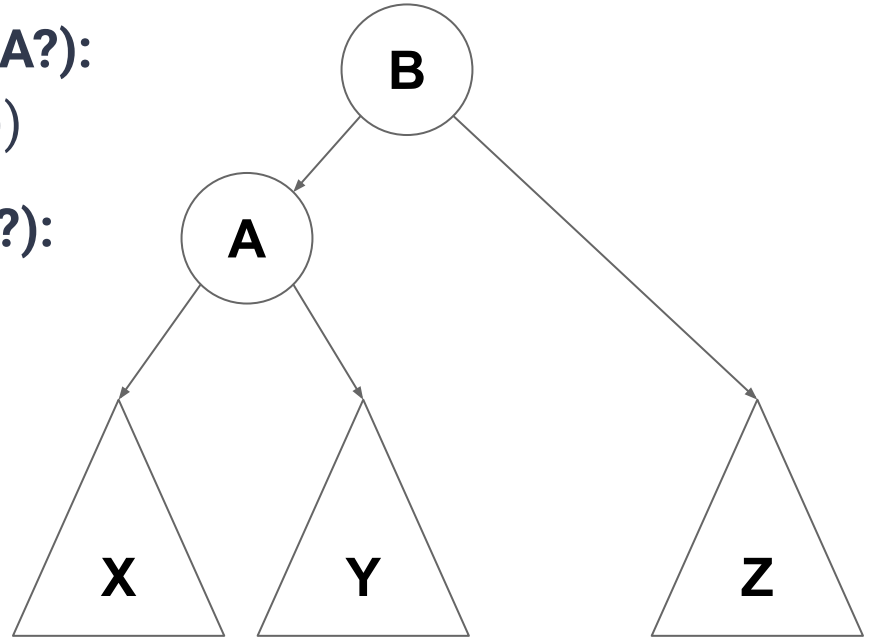
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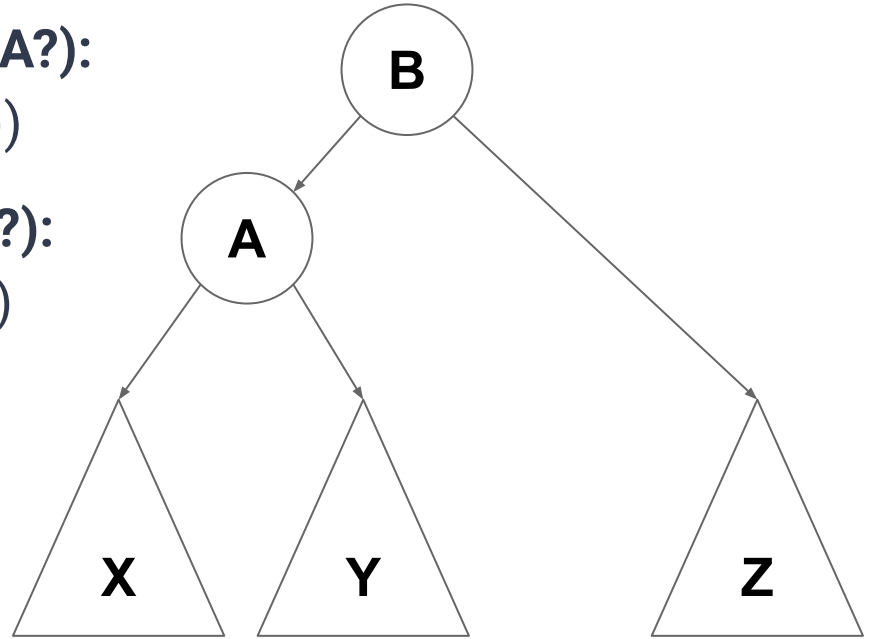
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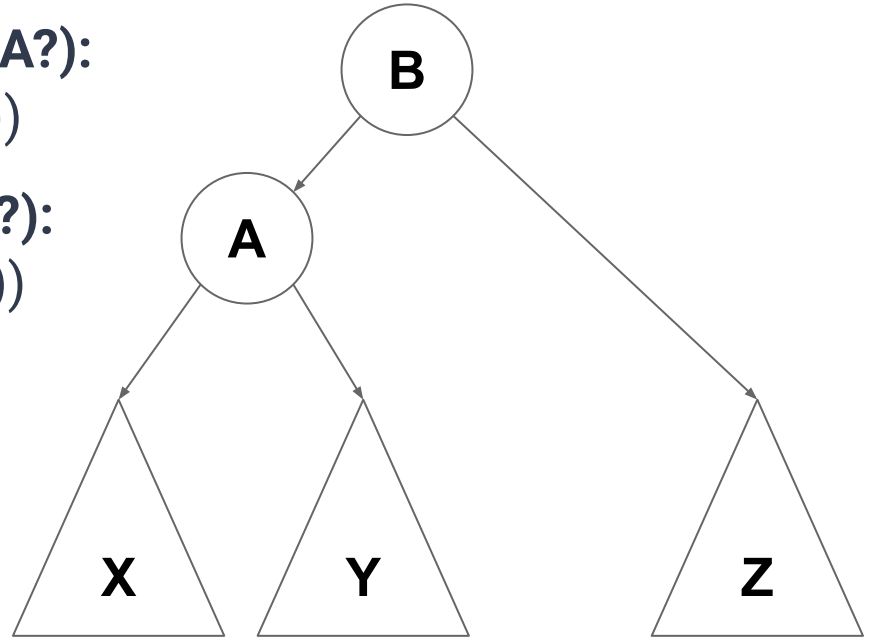
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- If **X** was the tallest of **X,Y,Z** our total height increased by 1.
- If **Z** was the tallest our total height decreased by 1.
- If **X,Z** same height, or **Y** is the tallest then total is unchanged



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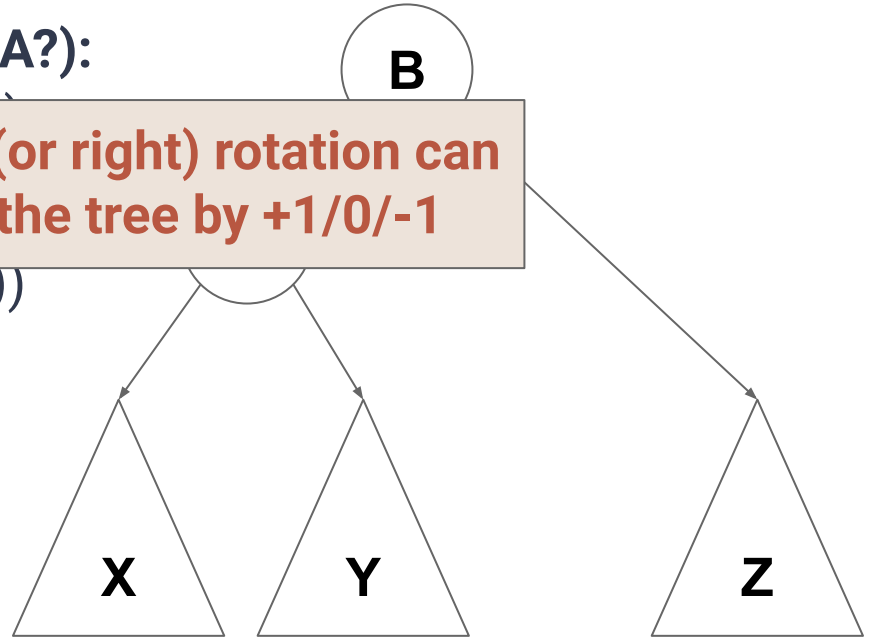
$$h(A) = 1 + \max(h(X), h(Y))$$

After Rotation

$$h(B) = 1 + \max(1 + \max(h(X), h(Y)), h(Z))$$

Therefore, a single left (or right) rotation can change the height of the tree by +1/0/-1

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Rotate(A, B)

AVL Trees

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An **AVL tree** (**Adelson-**V**elsky and **L**andis) is a ***BST*** where every subtree is depth-balanced**

Remember: Tree depth = height(root)

Balanced: $|\text{height}(\text{root.right}) - \text{height}(\text{root.left})| \leq 1$

AVL Trees

Define $\text{balance}(v) = \text{height}(v.\text{right}) - \text{height}(v.\text{Left})$

Goal: Maintaining $\text{balance}(v) \in \{-1, 0, 1\}$

- $\text{balance}(v) = 0 \rightarrow$ "v is balanced"
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What does enforcing this gain us?

AVL Trees - Depth Bounds

Question: Does the AVL property result in any guarantees about depth?

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Proof Idea: An AVL tree with depth d has "enough" nodes

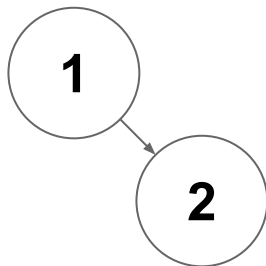
AVL Trees - Depth Bounds

Let $\text{minNodes}(d)$ be the min number of nodes an in AVL tree of depth d

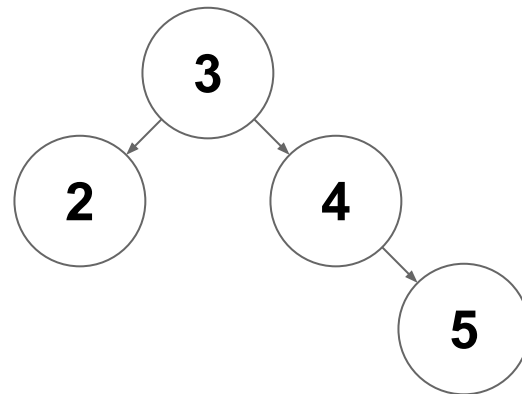
$\text{minNodes}(0) = 1$



$\text{minNodes}(1) = 2$

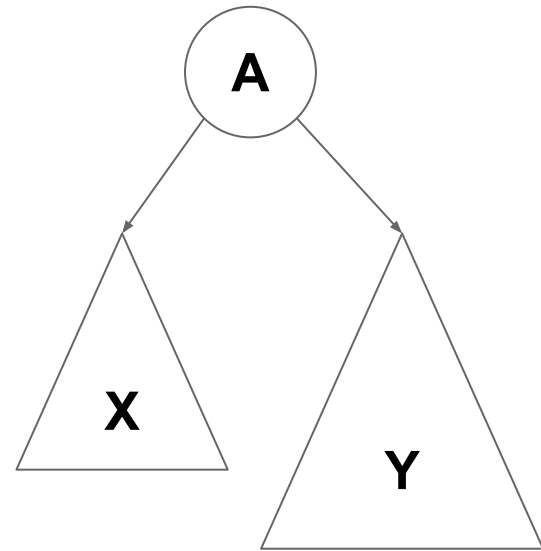


$\text{minNodes}(2) = 4$



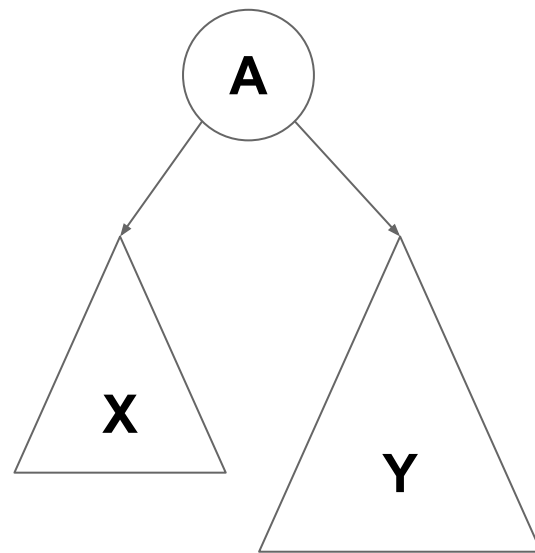
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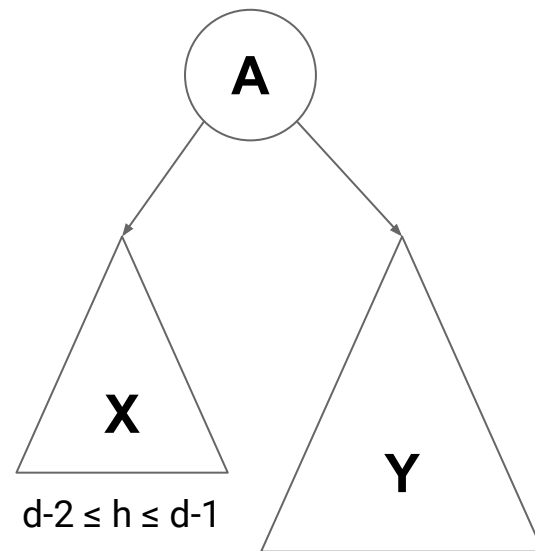
At least one subtree must have depth of $d - 1$
(because total depth is d)

$h = d - 1$

AVL Trees - Depth Bounds

For any tree of depth d :

The other subtree must have a depth of at least $d - 2$ because the AVL constraint does not allow it to differ by more than 1



At least one subtree must have depth of $d - 1$
(because total depth is d)

AVL Tree - Depth Bounds

For $d < 1$:

$$\text{minNodes}(d) = 1 + \text{minNodes}(d - 1) + \text{minNodes}(d - 2)$$

AVL Tree - Depth Bounds

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This is the Fibonacci Sequence!

AVL Tree - Depth Bounds

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This is the Fibonacci Sequence!

What is the d^{th} term of the Fibonacci sequence?

Coarse approximation: $\text{minNodes}(d) = \Omega(1.5^d)$

AVL Tree - Depth Bounds

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$$\frac{\log_2(n)}{\log_2(1.5)} - \frac{\log_2(c)}{\log_2(1.5)} \geq d$$

All constants

AVL Tree - Depth Bounds

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$$d \in O(\log_2(n))$$

AVL Tree - Depth Bounds

$$\text{minNodes}(d) = \Omega(1.5^d)$$

$$n \geq c1.5^d \quad \log_2 \left(\frac{n}{c} \right) \geq d$$

Therefore if we enforce the AVL constraint, then a tree with n nodes will have logarithmic depth

$$\log_2 \left(\frac{n}{c} \right) \geq \log_2 \left(\frac{n}{c} \right) \geq \frac{\log_2(n) - \log_2(c)}{\log_2(1.5)} \geq d$$

$$\log_2 \left(\frac{n}{c} \right) \geq d \log_2(1.5)$$

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AVL Tree - Depth Bounds

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$$\log_2 \left(\frac{n}{c} \right) \geq \log_2(c)$$

Therefore if we enforce the AVL constraint, then a tree with n nodes will have logarithmic depth

So how do we enforce the constraint?

$$\frac{\log_2(c)}{\log_2(1.5)} \geq d$$

$$\log_2 \left(\frac{n}{c} \right) \geq d \log_2(1.5)$$

$$d \in O(\log_2(n))$$

Enforcing the AVL Constraint

- Computing `balance()` on the fly is expensive
 - `balance()` calls `height()` twice
 - Computing `height()` requires visiting every node

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Idea: Store height of each node at the node

Better Idea: Just store the balance factor (only needs 2 bits)

Enforcing the AVL Constraint

```
1 public class AVLTreeNode<T> {  
2     T value;  
3     Optional<AVLTreeNode<T>> parent; // We need a ref to parent to rotate  
4     Optional<AVLTreeNode<T>> leftChild;  
5     Optional<AVLTreeNode<T>> rightChild;  
6     Boolean isLeftHeavy; // true if height(right) - height(left) == -1  
7     Boolean isRightHeavy; // true if height(right) - height(left) == 1  
8 }
```

Need to add 3 fields to our TreeNode class to make it an AVLTreeNode

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Assume we have a valid AVL tree and we modify it. How might this break our AVL constraint?

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Enforcing the AVL Constraint

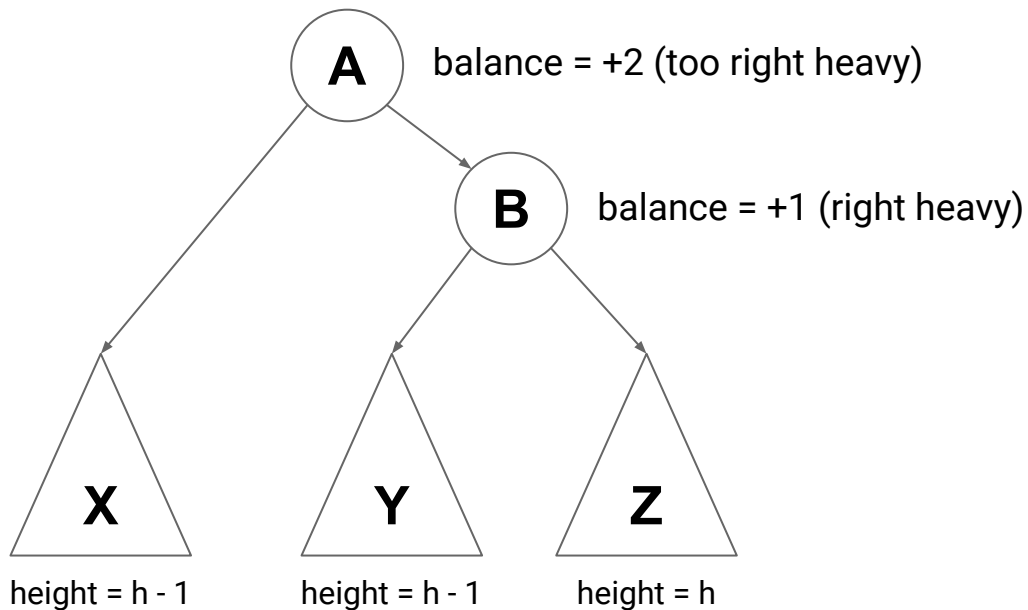
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- What is the effect on the height of `insert`? Increases by **at most 1**
- What is the effect on the height of `remove`? Decreases by **at most 1**

Therefore after an operation that modifies an AVL tree, the difference in heights can be **at most 2**.

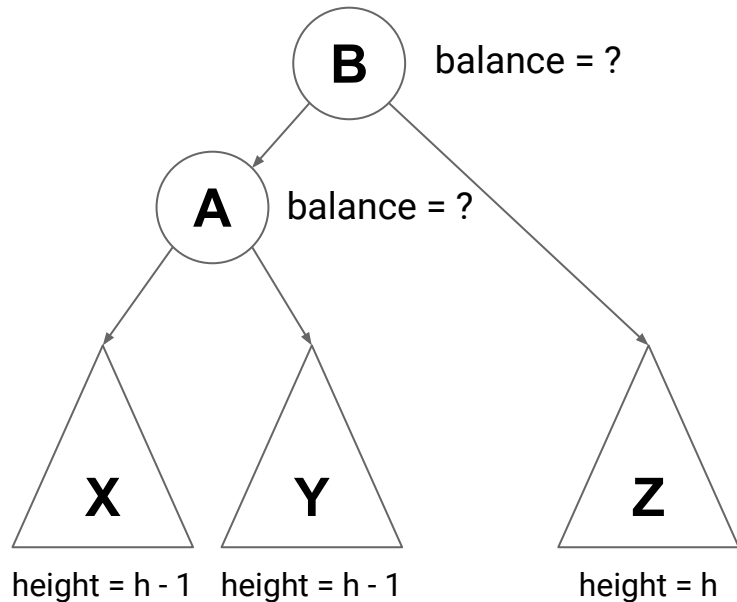
What are the exact ways this broken constraint might show up?

Enforcing the AVL Constraint: Case 1



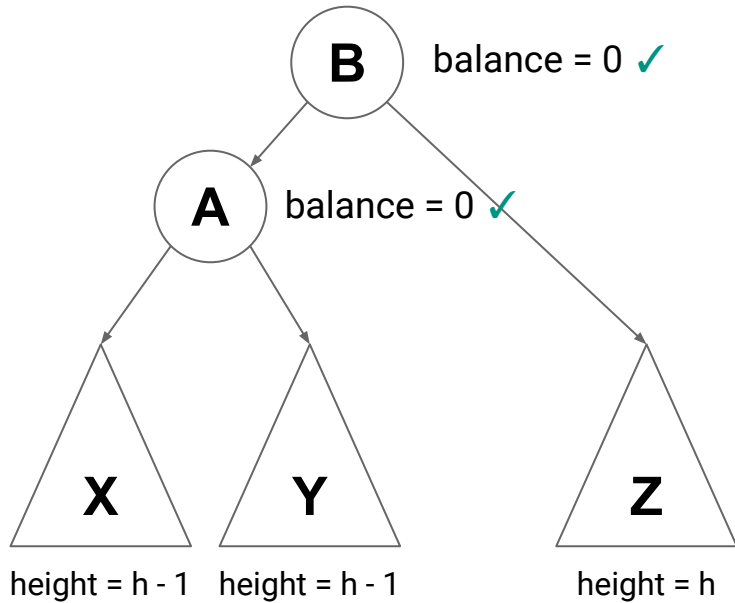
How can we fix this?

Enforcing the AVL Constraint: Case 1



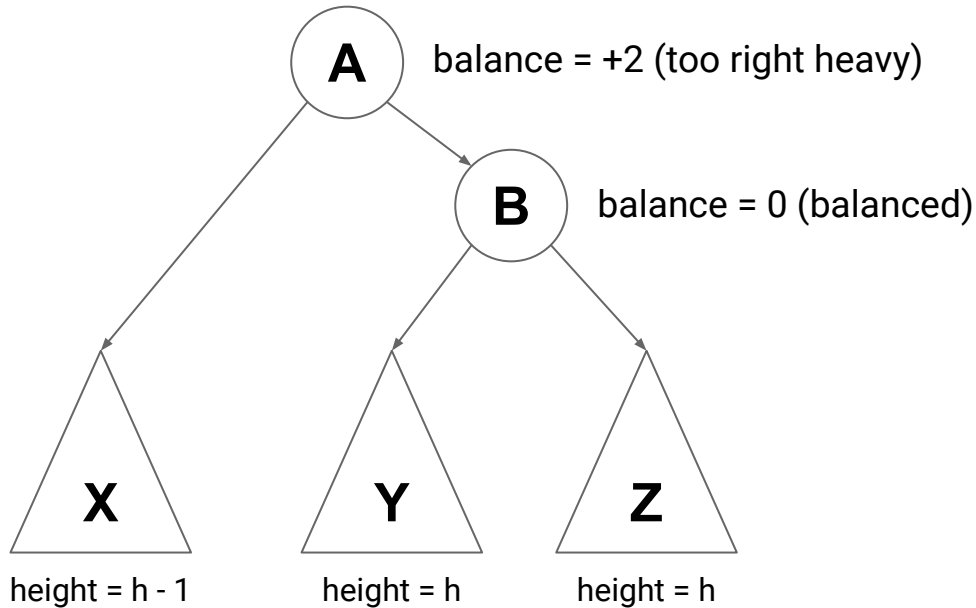
How can we fix this? `rotate(A,B)`

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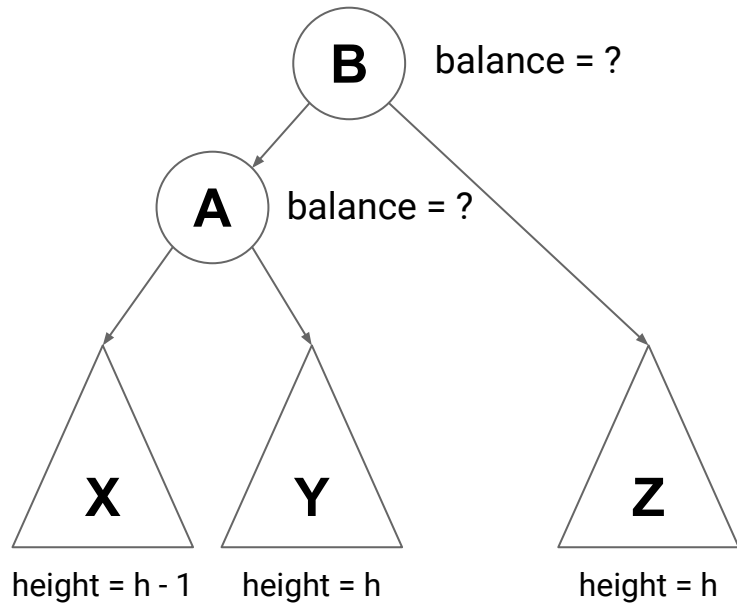
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Enforcing the AVL Constraint: Case 2



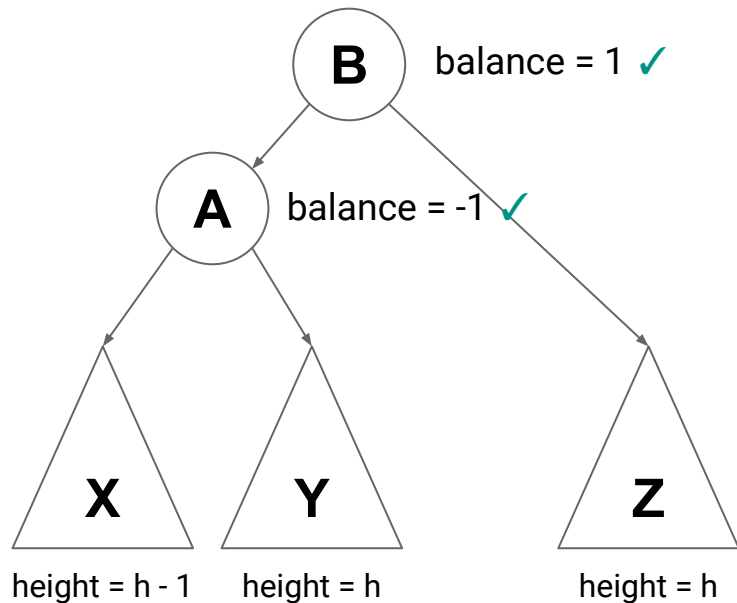
How can we fix this?

Enforcing the AVL Constraint: Case 2



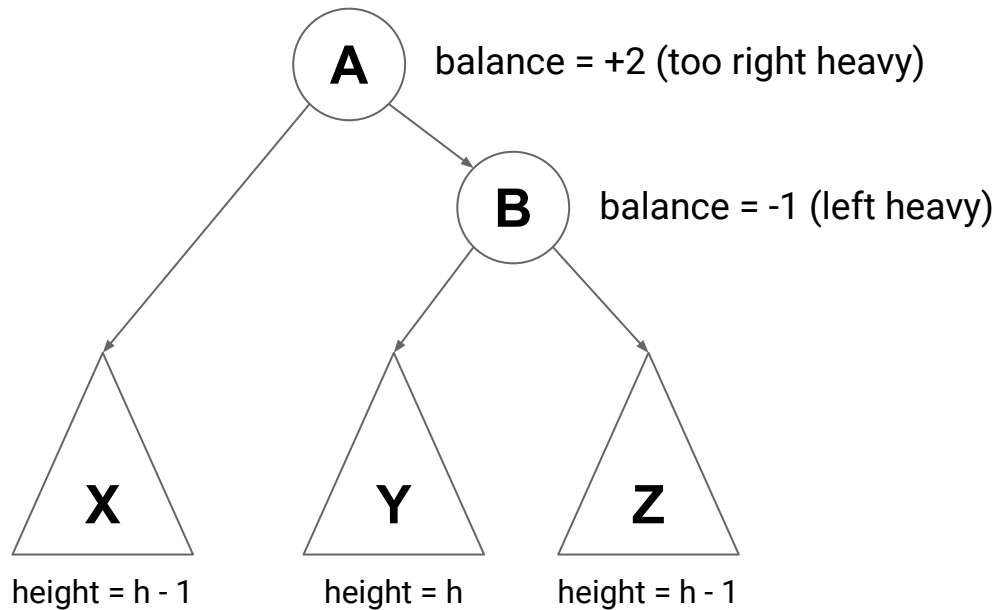
How can we fix this? `rotate(A,B)`

Enforcing the AVL Constraint: Case 2



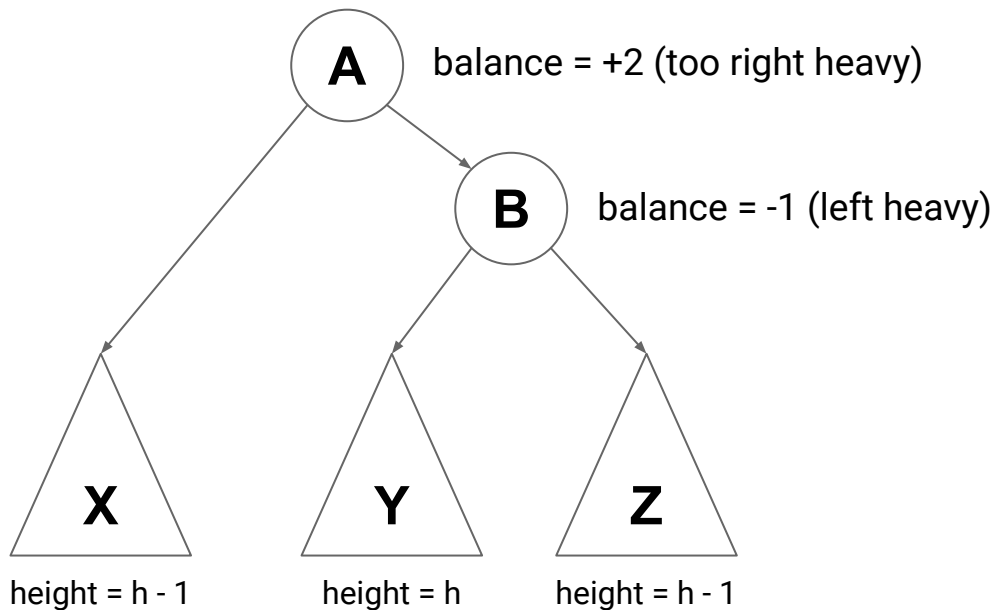
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Enforcing the AVL Constraint: Case 3



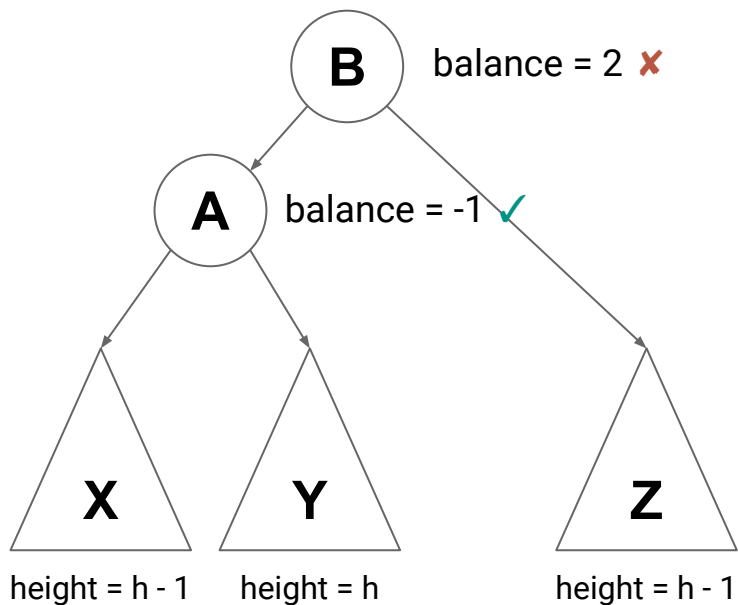
How can we fix this?

Enforcing the AVL Constraint: Case 3



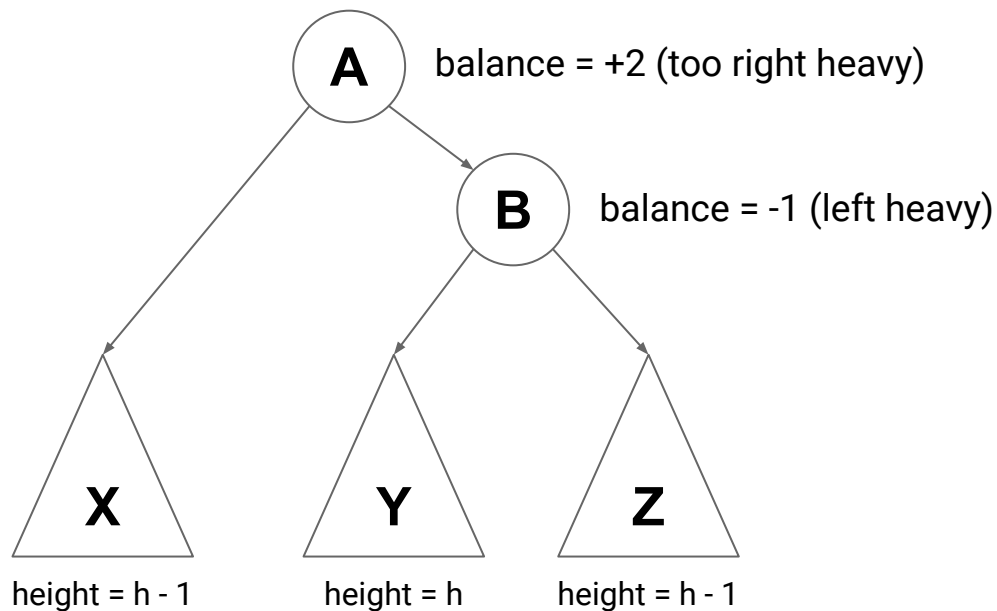
How can we fix this?
Will just a single left rotation work?

Enforcing the AVL Constraint: Case 3



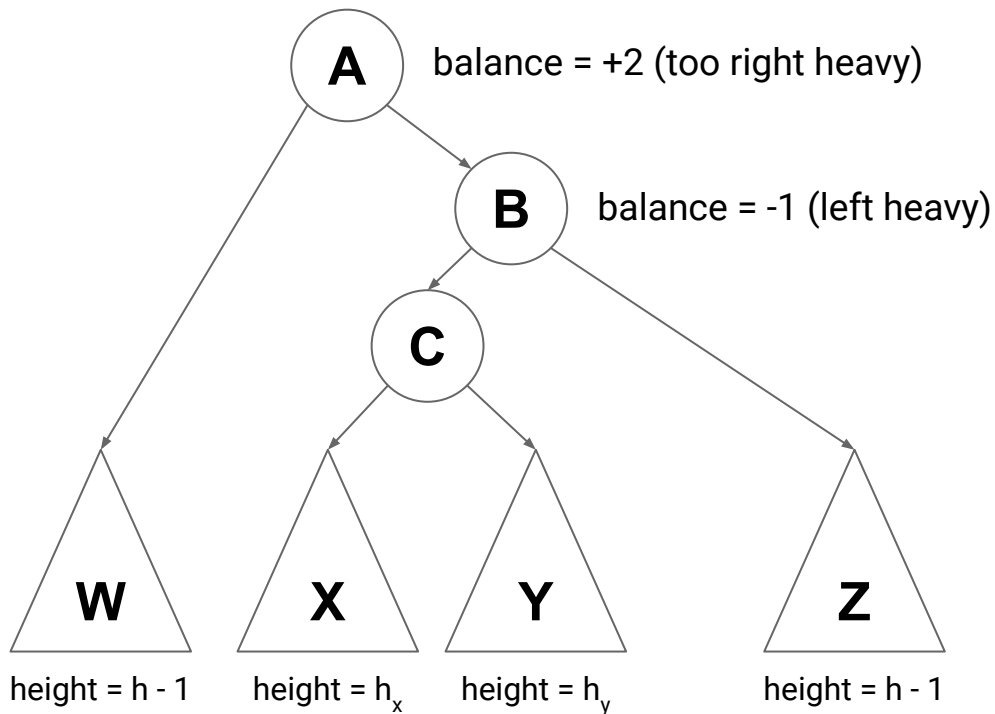
How can we fix this?
Will just a single left rotation work? **No**

Enforcing the AVL Constraint: Case 3



How can we fix this?

Enforcing the AVL Constraint: Case 3



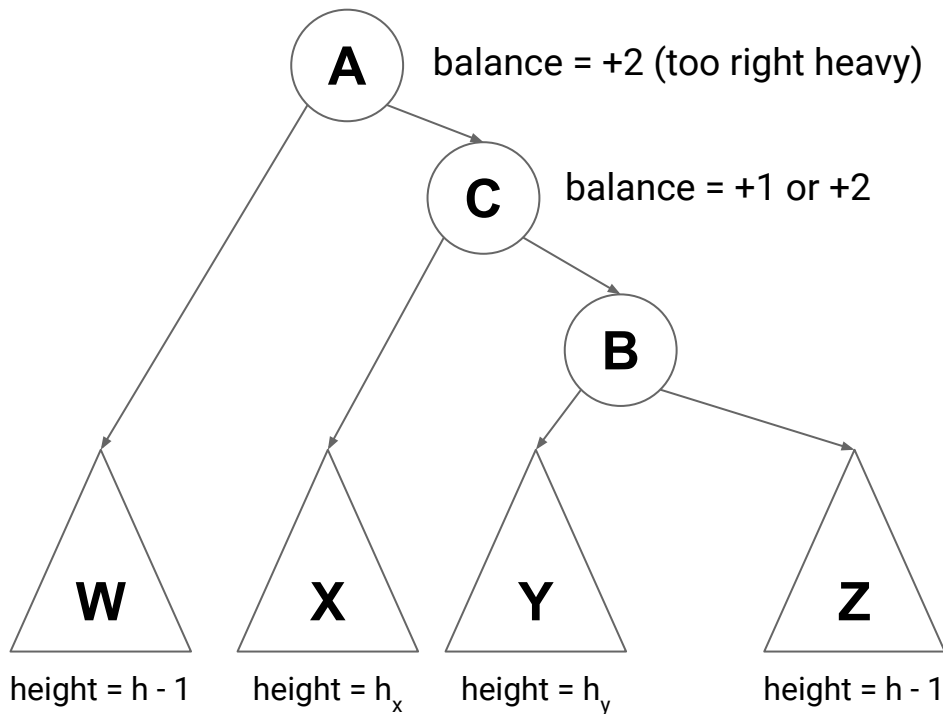
How can we fix this?

Height of **C** we know must be h

Therefore At least one of h_x or h_y must be $h - 1$

The other can also be $h - 2$, or $h - 1$

Enforcing the AVL Constraint: Case 3



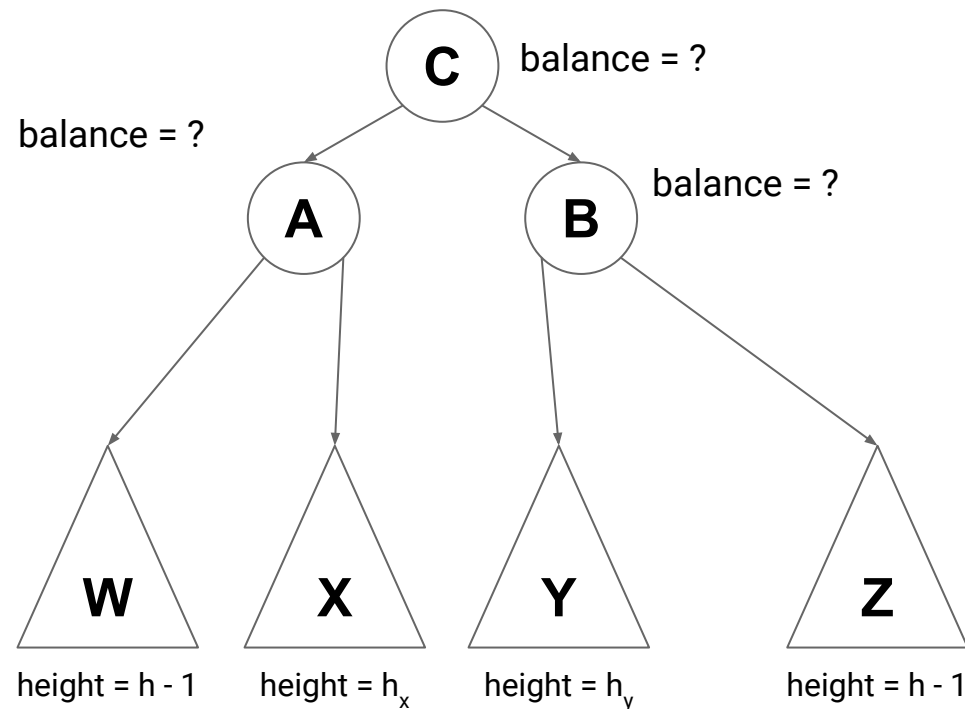
How can we fix this?
Rotate right first: `rotate(B, C)`

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Enforcing the AVL Constraint: Case 3



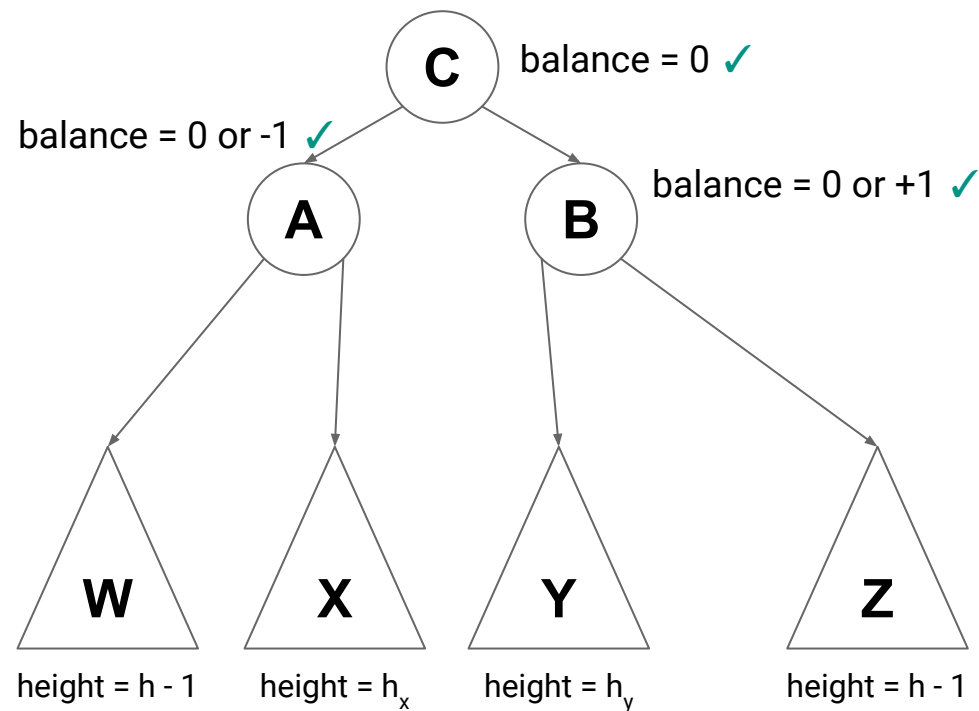
How can we fix this?
Rotate right first: `rotate(B, C)`
Then right left: `rotate(A, C)`

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Enforcing the AVL Constraint: Case 3



How can we fix this?
Rotate right first: `rotate(B, C)`
Then right left: `rotate(A, C)`

Height of **C** we know must be h

Therefore At least one of h_x or h_y must be $h - 1$

The other can also be $h - 2$, or $h - 1$

Enforcing the AVL Constraint

- If too right heavy (balance == +2)
 - If right child is right heavy (balance == +1) or balanced (balance == 0)
 - rotate left around the root
 - If right child is left heavy (balance == -1)
 - rotate right around root of right child, then rotate left around root
- If too left heavy (balance == -2)
 - Same as above but flipped

Therefore if we have a balance factor that is off, but all children are AVL trees, we can fix the balance factor in at most 2 rotations

Inserting Records

To insert a record into an AVL Tree:

1. Find the insertion point (remember it is a BST)
2. Insert the new leaf and set balance factor to 0
3. Trace path back up to root and update balance factors
 - a. If a balance factor becomes +/-2 then rotate to fix

Inserting Records

To insert a record into an AVL Tree:

1. Find the insertion point (remember it is a BST) $O(d) = O(\log n)$
2. Insert the new leaf and set balance factor to 0 $O(1)$
3. Trace path back up to root and update balance factors $O(d) = O(\log n)$
 - a. If a balance factor becomes +/-2 then rotate to fix $O(1)$

Inserting New Nodes

```
1 public void insert(T value, AVLTreeNode<T> root) {
2     // Use normal logic for inserting into a BST, then set heavy flags
3     AVLTreeNode<T> newNode = insertIntoBST(value, root);
4     newNode.isLeftHeavy = newNode.isRightHeavy = false;
5     while (newNode.parent.isPresent()) {
6         if (newNode.parent.get().leftChild.orElse(null) == newNode) {
7             // Fix issues that occur from inserting into parents left subtree
8         } else {
9             // Fix issues that occur from inserting into parents right subtree
10        }
11        newNode = newNode.parent.get();
12    }
13 }
```

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12    }
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```

Find insertion point and create the new leaf $O(d) = O(\log n)$

Inserting New Nodes

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2     // Use normal logic for inserting into a BST, then set heavy flags
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4     newNode.isLeftHeavy = newNode.isRightHeavy = false;
5     while (newNode.parent.isPresent()) { ←  $O(d) = O(\log n)$  iterations
6         if (newNode.parent.get().leftChild.orElse(null) == newNode) {
7             // Fix issues that occur from inserting into parents left subtree
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12    }
13 }
```

What is the cost of each iteration?
How exactly do we fix the issues? (next slide)

Inserting New Nodes

```
1 if (newNode.parent.get().leftChild.orElse(null) == newNode) {
2   // Fix issues that occur from inserting into parents left subtree
3   if (newNode.parent.get().isRightHeavy) {
4     newNode.parent.get().isRightHeavy = false;
5     return
6   } else if (newNode.parent.get().isLeftHeavy) {
7     if (newNode.isLeftHeavy) newNode.parent.get().rotateRight();
8     else newNode.parent.get().rotateLeftRight();
9     return
10  } else {
11    newNode.parent.get().isLeftHeavy = true;
12  }
13 }
```

Inserting New Nodes

```
1 if (newNode.parent.get().leftChild.orElse(null) == newNode) {
2   // Fix issues that occur from inserting into parents left subtree
3   if (newNode.parent.get().isRightHeavy) {
4     newNode.parent.get().isRightHeavy = false;
5     return
6   } else if (newNode.parent.get().isLeftHeavy)
7     if (newNode.isLeftHeavy) newNode.parent.get().rotateRight();
8     else newNode.parent.get().rotateLeftRight();
9     return
10  } else {
11    newNode.parent.get().isLeftHeavy = true;
12  }
13 }
```

If we inserted into the left of a right heavy subtree, then the subtree is no longer right heavy and we can stop here

Inserting New Nodes

```
1 if (newNode.parent.get().leftChild.orElse(null)
2   // Fix issues that occur from inserting into
3   if (newNode.parent.get().isRightHeavy) {
4     newNode.parent.get().isRightHeavy = false;
5     return
6   } else if (newNode.parent.get().isLeftHeavy) {
7     if (newNode.isLeftHeavy) newNode.parent.get().rotateRight();
8     else newNode.parent.get().rotateLeftRight();
9     return
10  } else {
11    newNode.parent.get().isLeftHeavy = true;
12  }
13 }
```

If we inserted into the left of a left heavy subtree, then we just created imbalance, and need to rotate. But then we can stop.

Inserting New Nodes

```
1 if (newNode.parent.get().leftChild.orElse(null) == newNode) {
2   // Fix issues that occur from inserting into parents left subtree
3   if (newNode.parent.get().isRightHeavy) {
4     newNode.parent.get().isRightHeavy = false;
5     return
6   } else if (newNode.parent.get().isLeftHeavy)
7     if (newNode.isLeftHeavy) newNode.parent.get()
8     else newNode.parent.get().rotateLeftRight()
9     return
10  } else {
11    newNode.parent.get().isLeftHeavy = true;
12  }
13 }
```

If we inserted into the left of a balanced subtree, then we mark it as now being left heavy, and continue up the tree

Inserting New Nodes

```
1 public void insert(T value, AVLTreeNode<T> root) {
2     // Use normal logic for inserting into a BST, then set heavy flags
3     AVLTreeNode<T> newNode = insertIntoBST(value, root);
4     newNode.isLeftHeavy = newNode.isRightHeavy = false;
5     while (newNode.parent.isPresent()) {
6         if (newNode.parent.get().leftChild.orElse(null) == newNode) {
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8         } else {
9             // Fix issues that occur from inserting into parents right subtree
10        }
11        newNode = newNode.parent.get();
12    }
13 }
```

What is the cost of each iteration? **$O(1)$**

Inserting New Nodes

```
1 public void insert(T value, AVLTreeNode<T> root) {
2     // Use normal logic for inserting into a BST, then set heavy flags
3     AVLTreeNode<T> newNode = insertIntoBST(value, root);
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7             // Fix issues that occur from inserting into parents left subtree
8         } else {
9             // Fix issues that occur from inserting into parents right subtree
10        }
11        newNode = newNode.parent.get();
12    }
13 }
```

Therefore, our total insertion cost is $O(d) = O(\log(n))$

Removing Records

- Removal follows essentially the same process as insertion
 - Do a normal BST removal
 - Go back up the tree adjusting balance factors
 - If you discover a balance factor that goes to $+2/-2$, rotate to fix

Summary

- We want shallow BSTs (it makes **find**, **insert**, **remove** faster)

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- Enforcing AVL constraints makes our BSTs shallow
 - The constraints are $|\text{height}(\text{right}) - \text{height}(\text{left})| \leq 1$
 - It will guarantee **$d = O(\log(n))$**

Summary

- We want shallow BSTs (it makes **find**, **insert**, **remove** faster)
- Enforcing AVL constraints makes our BSTs shallow
 - The constraints are $|\text{height}(\text{right}) - \text{height}(\text{left})| \leq 1$
 - It will guarantee $d = O(\log(n))$
- Adding/removing from a BST changes height by at most 1
- A rotation can also change a BST height by at most 1

Summary

- We want shallow BSTs (it makes **find**, **insert**, **remove** faster)
- Enforcing AVL constraints makes our BSTs shallow
 - The constraints are $|\text{height}(\text{right}) - \text{height}(\text{left})| \leq 1$
 - It will guarantee $d = O(\log(n))$
- Adding/removing from a BST changes height by at most 1
- A rotation can also change a BST height by at most 1
- Therefore after **insert/remove** into an AVL tree, we can reinforce AVL constraints with one (or two) rotations
 - We only need to make one trip back up the tree to do so
 - Therefore **insert/remove** is still $O(d) = O(\log(n))$